

SECTOR # 3

Attorney Docket No. YO999-131

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Patent Application**

Applicants: Joseph L. Hellerstein et al.  
Docket No.: YO999-131  
Serial No.: 09/359,874  
Filing Date: July 27, 1999  
Group: 2776  
Examiner: Unassigned



"Express Mail" Label No. EJ92715272945

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit: **October 20, 1999**

Signature: Leresa M. Hamlin

Title: Systems and Methods for Exploratory  
Analysis of Data for Event Management

**TRANSMITTAL OF MISSING PARTS**

Assistant Commissioner for Patents  
Washington, D.C. 20231  
Box Missing Parts:

Sir:

In response to the Notice to File Missing Parts dated August 20, 1999, Applicants submit herewith the following document to complete the above-referenced patent application:

(1) Declaration and Power of Attorney.

A copy of the Notice is enclosed herewith. Please find enclosed a check in the amount of \$130 to cover the surcharge under 37 CFR §1.16(e). In the event of non-payment or improper payment of a required fee, the Commissioner is authorized to charge or to credit **Ryan & Mason, L.L.P. Deposit Account No. 50-0762** as required to correct the error. A duplicate copy of this letter is enclosed.

Respectfully submitted,

William E. Lewis

William E. Lewis

Reg. No. 39,274

Attorney for Applicant(s)

Date: October 20, 1999  
**Ryan & Mason, L.L.P.**  
90 Forest Avenue  
Locust Valley, New York 11560  
(516) 759-2946



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/359,874	07/27/99	HELLERSTEIN	J Y0999-131

WILLIAM E LEWIS  
RYAN & MASON LLP  
90 FOREST AVE  
LOCUST VALLEY NY 1560



0262/0820

NOT ASSIGNED

2776

DATE MAILED:

08/20/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☒ non-small entity is \$ 130.

- ☐ 1. The statutory basic filing fee is:  
☐ missing.  
☐ insufficient.  
Applicant must submit \$\_\_\_\_\_ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- ☐ 2. The following additional claims fees are due:  
\$\_\_\_\_\_ for \_\_\_\_\_ total claims over 20.  
\$\_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.  
\$\_\_\_\_\_ for multiple dependent claim surcharge.  
Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.
- ☒ 3. The oath or declaration:  
☒ is missing or unsigned.  
☐ does not cover the newly submitted items.  
An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.
- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.  
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).
- ☐ 7. Your filing receipt was mailed in error because your check was returned without payment.
- ☐ 8. The application was filed in a language other than English.  
Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).
- ☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

FORM PTO-1533 (REV. 9/98)

U.S. GPO: 1998-446-824

**PART 2 - COPY TO BE RETURNED WITH RESPONSE**

BEST AVAILABLE COPY

10/25/1999 CV088C4A 00000097 09359874 130.00 DP

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